

**NOAA Commerce Business Systems (CBS)
Budget Execution
User Guide**

Funds Control Maintenance

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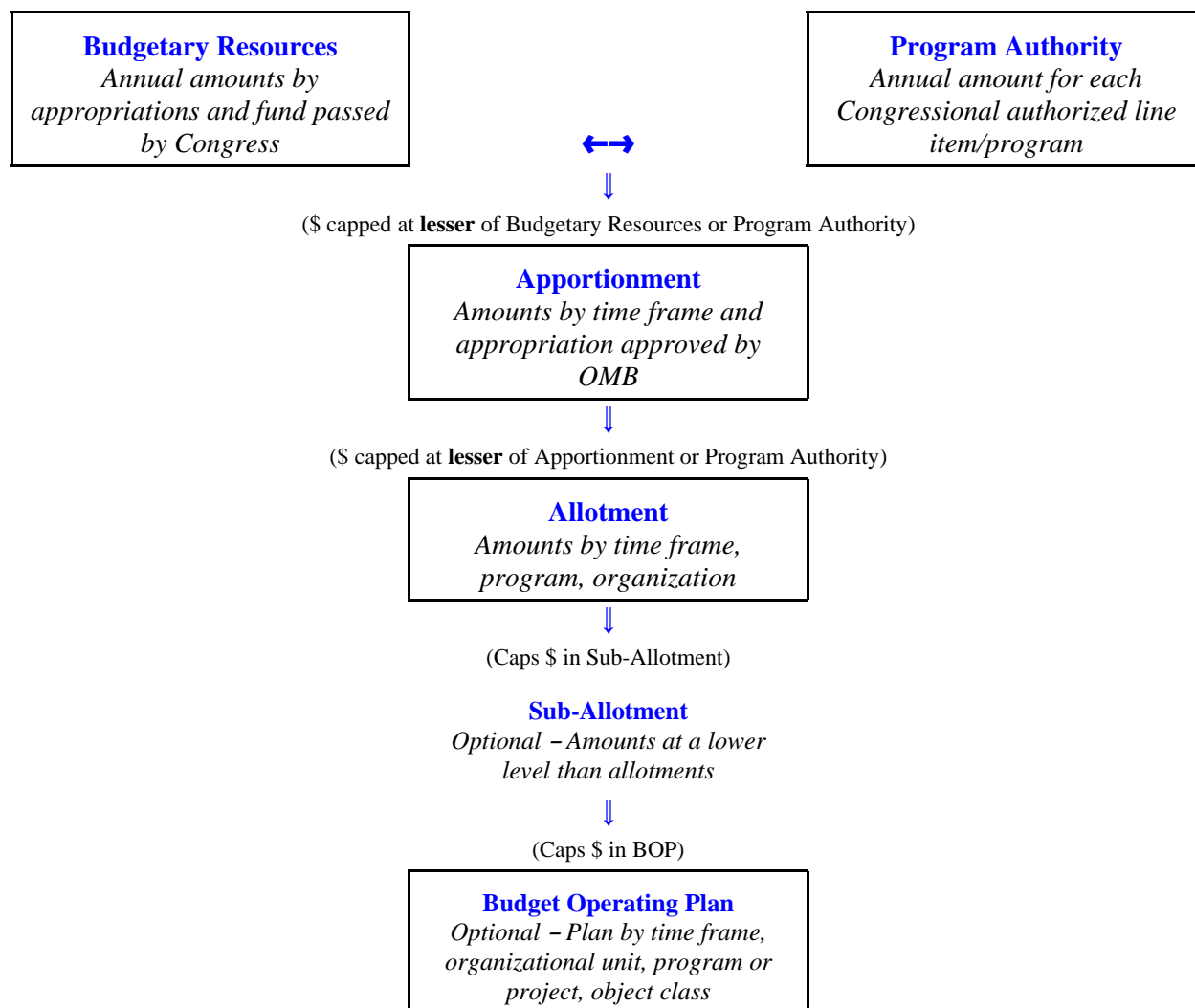
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3.0 Funds Control Maintenance

This section describes the maintenance process in CBS as it relates to funds control. CBS provides flexibility to establish funds control at various levels. The system uses the accounting classification code structure (ACCS) to verify funds availability for each transaction.

3.1 Overview of Funds Control in the Core Financial System

The funds set-up in CBS follows the legal process by which NOAA receives funding. Each “level” limits the resources available at the next level down as depicted in the chart below:



Funds control is established for each fund. There are three dimensions of funds control:

- What transactions get counted – commitments and/or obligations
- What amounts get counted – allotments, sub-allotments, or budget operating plans
- What level of ACCS governs funds control – e.g., all programs or projects allotted to the line office level

CBS ensures that available funds are not exceeded as transactions are approved. If a transaction exceeds the amount of funding available, the user receives an on-line notification. The system provides for an authorized override official to approve the transaction, if necessary. The next section describes the process for establishing the funds control parameters in CBS.

3.2 Funds Management Parameter Maintenance

The Funds Management Parameter Maintenance Screen (**FM001**) is used for establishing funds control at the overall system and/or fund level and determines whether commitments and sub-allotments will be recorded for the fund. This screen is also used to indicate whether Budget Operating Plans will be used for funds control. Refer to Section 9, Screen Reference Guide, for a detailed description of fields and procedures for entering and maintaining data on this screen.

Funds Mgmt Parameter Maintenance (FM001 VER-1.176.0.0)														
Bureau Code		Name												
Fund Code		Title												
Fiscal Year		Appropriation Symbol												
Category		Record: Commitments	<input checked="" type="checkbox"/>	Sub-Allotments	<input checked="" type="checkbox"/>									
Use Budget Operating Plans for Funds Control			<input checked="" type="checkbox"/>											
Default Account Classification for Funds Control:			< [] >											
Active Status:			<input checked="" type="checkbox"/> N	Date:										
Organization Code								Account Classification for Funds Control						
[]	[]	[]	[]	[]	[]	[]	< [] >	[]						
[]	[]	[]	[]	[]	[]	[]	< [] >	[]						
[]	[]	[]	[]	[]	[]	[]	< [] >	[]						
[]	[]	[]	[]	[]	[]	[]	< [] >	[]						
[]	[]	[]	[]	[]	[]	[]	< [] >	[]						

Funds control is established for each fund within NOAA. NOAA may also establish a different level of funds control for each fund.

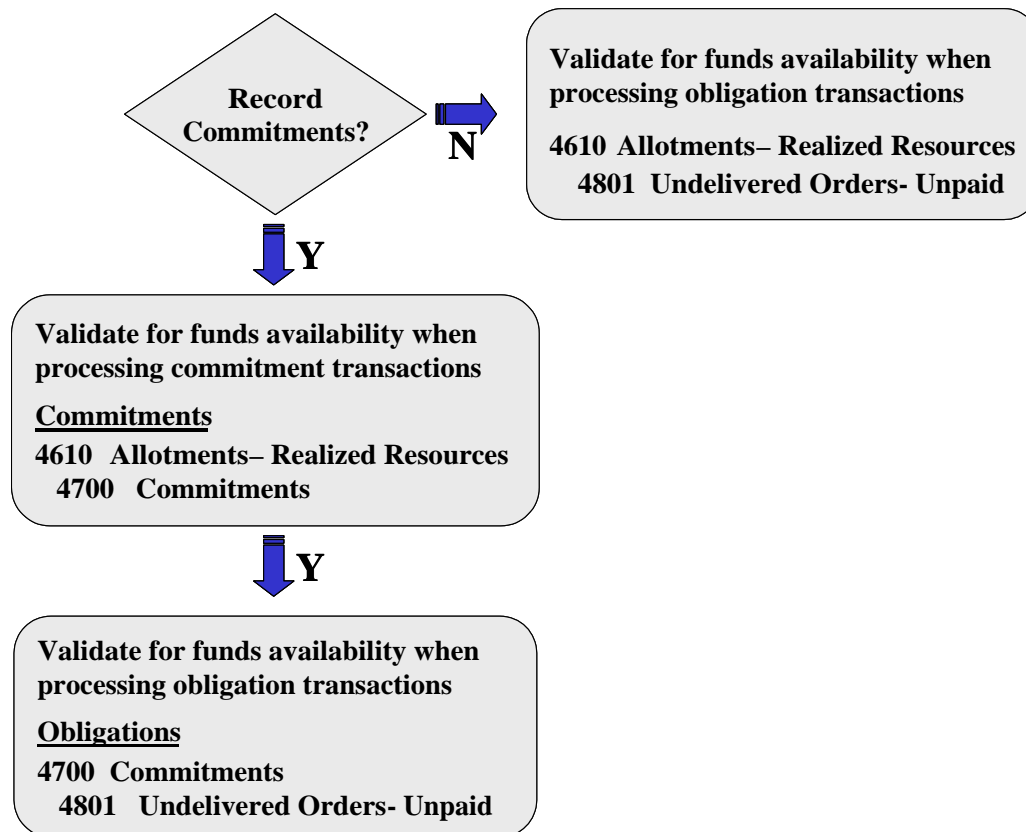
On the Funds Management Parameter Maintenance Screen, three parameters are required:

- ◆ Record commitments;
- ◆ Record suballotments, and
- ◆ Use Budget Operating Plans (BOPs) for funds control.

If Sub-Allotments and/or Budget Operating Plans are not selected as Y, funds control will automatically be established at the Allotment level. For each fund the user identifies the Account Classification Code Structure (ACCS) level for funds control. The default Account Classification for Funds Control or “mask” is used to populate the ACCS level for funds control for each approved organization.

3.2.1 Commitments

The first parameter indicates the decision to record commitments for the fund. If commitments are recorded, the commitments will be validated against the funds available for funds control. Decisions to record commitments may vary for each fund:

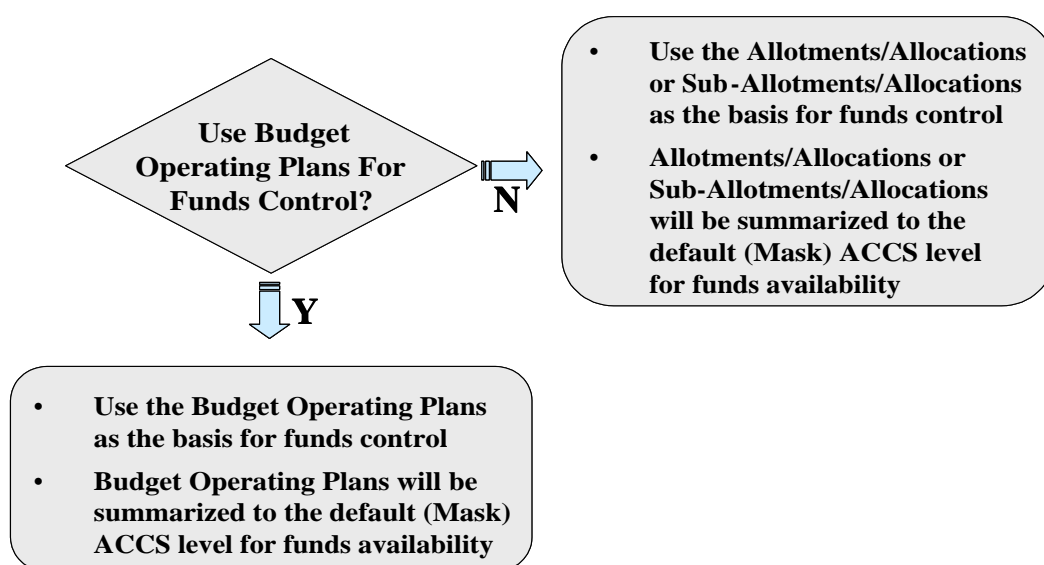


3.2.2 Sub-Allotments

The second parameter indicates whether sub-allotments will be recorded for the fund. At this time, the sub-allotment module is not functional.

3.2.3 Budget Operating Plans

The third parameter indicates whether budget operating plans will be used for funds control. The parameters entered will determine whether the allotment, sub-allotment, allocation (for internal funds), or budget operating plan will write to the funds_balance table for funds control. The funds_balance table determines the funds availability when attempting to record commitments and/or obligations.



When the budget operating plans are used for funds control, the budget operating plans are recorded in the funds_balance table for funds control. When the budget operating plans are not used for funds control and sub-allotments are recorded, the sub-allotments and allocations are recorded in the funds_balance table for funds control. When the budget operating plans are not used for funds control, and sub-allotments are not recorded, the allotments and allocations are recorded in the funds_balance table for funds control.

Note: *The system will accept the budget operating plans (BOPs), and surcharges may be planned on the BOPs, even if they are not used for funds control. When the BOPs are not used for funds control, they are not referenced by the system for funds availability. Even though these operating plans are recorded in the system, they do not have Standard General Ledger impact. Therefore these plans are used only on reports for comparison against commitments and obligations.*

3.3 Funds Available Checking

Once controls have been established, CFS provides the link to ensure that each of the Account Classification Code Structure (ACCS) distribution line amount is captured on commitment and/or obligation documents and used to check against the corresponding available budget or other pool (allotment or sub-allotment) to verify that there are funds available.

3.3.1 Funds Control Examples

To review the funds control functionality, the following examples reflect the impacts of different funds control levels.

Fund Code: 01 OR&F General Operations				
Line Office	Program	Apportionment 1 st Qtr	Allotment 1 st Qtr	Budget Operating Plan 1 st Qtr
NWS	01-01-01-000	5,000	5,000	5,000
NWS	04-01-01-000	10,000	10,000	5,000
NOS	01-01-01-000	15,000	15,000	10,000
Totals:		30,000	30,000	20,000

Example 1: Use budget operating plans for funds control
Funds control -- *Fund* and *Line Office* level

- ◆ NWS attempts to process a purchase requisition for \$12,500 for Program 04-01-01-000
- ◆ The transaction will NOT be accepted by the system. Even though NWS has received an allotment of \$15,000 (\$5,000 for 01-01-01-000 and \$10,000 for 04-01-01-000), NWS only prepared budget operating plans for \$10,000. Therefore, only \$10,000 is available for commitment/obligation.

In Example 1, the Funds Balance Table will be populated using the Budget Operating Plans. It summarizes all plans and obligations and validates available funds at the Line Office level as shown below.

Project-Task	Program	Organization	Object Class	UDS	BOPed
*****_***	**_**_**_***	99-**-*****_**-**_**_**_**	**_**_**_**	*****	
*****_***	**_**_**_***	20-**-*****_**-**_**_**_**	**_**_**_**	*****	10,000

Example 2: Use budget operating plans for funds control
Funds control -- **Fund** and **NOAA** level

- ◆ NWS attempts to process a purchase requisition for \$20,000 for Program 04-01-01-000
- ◆ The transaction will be accepted by the system. Even though NWS prepared operating plans for only \$10,000 (\$5,000 for 01-01-01-000 and \$5,000 for 04-01-01-000), the total operating plans for the fund and for the bureau is \$20,000. Since the funds control level for this example is at the *bureau level*, \$20,000 is available for commitment/obligation.

In Example 2, the Funds Balance Table will be populated using the Budget Operating Plans. It summarizes all plans and obligations and validates available funds at the Fund level as shown below.

Project-Task	Program	Organization	Object Class	UDS	BOPed
*****_***	**_**_**_***	**_**_*****_**_**_**_**	**_**_**_**_**	*****	
*****_***	**_**_**_***	**_**_*****_**_**_**_**	**_**_**_**_**	*****	20,000

Example 3: Use budget operating plans for funds control
Funds control -- **Program** and **Line Office** level

- ◆ NWS attempts to process a purchase requisition for \$7,500 for Program 01-01-01-000
- ◆ The transaction will NOT be accepted by the system. Even though NWS prepared operating plans for \$10,000 (\$5,000 for 01-01-01-000 and \$5,000 for 04-01-01-000), the total operating plan for the program 01-01-01-000 is only \$5,000. Since the *budget operating plans are used for funds control*, and the level of funds control is by program and line office, only \$5,000 is available for commitment/obligation for the program 01-01-01-000.

In the Example 3, the Funds Balance Table will be populated using the Budget Operating Plans. It summarizes all plans and obligations and validates available funds at the Line Office and Program levels as shown below.

Project-Task	Program	Organization	Object Class	UDS	BOPed
*****_***	99-99-99-999	99-**_*****_**_**_**_**	**_**_**_**_**	*****	
*****_***	01-01-01-000	20-**_*****_**_**_**_**	**_**_**_**_**	*****	5,000

Example 4: Do ***not*** use budget operating plans for funds control
Funds control -- ***Fund*** and ***Line Office*** level

- ◆ NWS attempts to process a purchase requisition for \$12,500
- ◆ The transaction will be accepted by the system. Even though NWS prepared operating plans for only \$10,000 (\$5,000 for 01-01-01-000 and \$5,000 for 04-01-01-000), the total allotments received is \$15,000. Since the budget operating plans are not used for funds control for this example, *allotments will be used as the basis for funds availability*. The total allotment of \$15,000 for NWS is available for commitment/obligation.

In the Example 4, the Funds Balance Table will be populated using the Allotments. It summarizes all Allotments and obligations and validates available funds at the Line Office level as shown below.

Project-Task	Program	Organization	Object Class	UDS	Allotted
*****_***	**_**_**_***	99-**-*****_**-**_**_**_**	**_**_**_**_**	*****	
*****_***	**_**_**_***	20-**-*****_**-**_**_**_**	**_**_**_**_**	*****	15,000

3.3.2 Passing Funds Availability Checks

As in Examples 2 and 4, CFS verifies that the total recorded for each ACCS on the document has sufficient funding available. Each distribution line is checked against the corresponding available budget or pool (allotment or sub-allotment) to determine if the funds can be reserved. If all multiple distribution (MDL) within each line item on a document pass funds availability checking, the amounts are recorded in the General Ledger and the document is electronically routed for administrative approvals.

3.3.3 Failing Funds Availability Checks

As in Examples 1 and 3, if any of the MDL fails the funds availability check, it is not recorded in the General Ledger and is placed on hold. If the originating document is a commitment, the failed MDL may either be modified by the requester or electronically routed for override approval. If the originating document is an obligation, the failed MDL is automatically routed to the Funds Override Official. MDLs in the document which have passed funds availability checks, are recorded in the General Ledger, but are not routed for administrative approval. Only when all of the failed MDL override requests have been either approved or denied, can the document move forward through the administrative approval process.

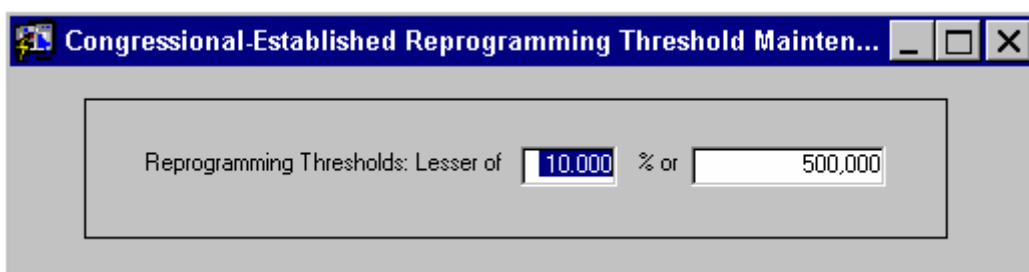
3.3.4 Routing to an Override Official

When a document has not passed the funds availability check, and the override has been requested, the system automatically routes to the person authorized to approve a commitment in excess of available funding. This Override Official has the ability to approve or disapprove the override request.

3.4 Congressional Reprogramming Threshold Maintenance

The Congressional Established Reprogramming Threshold Maintenance Screen (**FM005**) establishes a system-wide parameter for formal reprogramming limits. This parameter can only be updated through Structured Query Language (SQL). On-line update is not allowed. Formal reprogramming occurs when the cumulative reprogramming of a specific program exceeds the Congressional limit or mandate which is currently \$500,000 or 10% of program funding during a fiscal year, whichever is less. The system notifies the user and the override official when the reprogramming threshold has been exceeded.

Refer to the Screen Reference Guide, in Section 9, for detailed descriptions of fields and procedures for entering and maintaining data on this screen.



3.5 Transferring Org Mask Maintenance Screen

The Transferring Org Mask Maintenance Screen (FM007) establishes the default organization level at which allotments are automatically created when using the BOP Change Order TRANSFER functionality. A default mask is created for each combination of bureau, fund code, fiscal year, and direct/reimbursable flag. This mask is applied to the organization code entered in the Corresponding Organization field on the Budget Control Screen.

Budget Operating Plan Transfer Maintenance Screen (FM007 VER.1.159.0.20)

BC	FC	FY	D/R	Project-Task	Organization										Object Class		A	Active Date
14	01	2003	D			99	00	0000	00	00	00	00					<input checked="" type="checkbox"/>	18-DEC-2002
14	01	2004	D			99	00	0000	00	00	00	00					<input checked="" type="checkbox"/>	24-MAR-2004
14	01	2005	D			99	99	0000	00	00	00	00					<input checked="" type="checkbox"/>	25-OCT-2004
14	05	2003	R			99	00	0000	00	00	00	00					<input checked="" type="checkbox"/>	18-DEC-2002
14	05	2004	R			99	00	0000	00	00	00	00					<input checked="" type="checkbox"/>	24-MAR-2004
14	05	2005	R			99	00	0000	00	00	00	00					<input checked="" type="checkbox"/>	25-OCT-2004
14	06	2003	R			99	00	0000	00	00	00	00					<input checked="" type="checkbox"/>	18-DEC-2002
14	06	2004	R			99	00	0000	00	00	00	00					<input checked="" type="checkbox"/>	24-MAR-2004
14	06	2005	R			99	00	0000	00	00	00	00					<input checked="" type="checkbox"/>	21-OCT-2004
14	07	2003	R			99	00	0000	00	00	00	00					<input checked="" type="checkbox"/>	18-DEC-2002
14	07	2004	R			99	00	0000	00	00	00	00					<input checked="" type="checkbox"/>	24-MAR-2004
14	07	2005	R			99	00	0000	00	00	00	00					<input checked="" type="checkbox"/>	25-OCT-2004
14	08	2003	D			99	00	0000	00	00	00	00					<input checked="" type="checkbox"/>	18-DEC-2002
14	08	2004	D			99	00	0000	00	00	00	00					<input checked="" type="checkbox"/>	24-MAR-2004
14	08	2005	D			99	00	0000	00	00	00	00					<input checked="" type="checkbox"/>	25-OCT-2004

Bureau Name: Approp Symbol:

Fund Title: ☒ Allot ☐ Sub-Allot ☐ Internal

Allotments recorded on the FM063 screen can be established at any level of the organization code. To keep the number of allotments to a minimum, the mask default is used to limit the number of Allotment Advices created during the automatic transfers to the 1st or 1st and 2nd level of the organization code. However, the organization code referenced on the BOP is at a lower level. In order for the automatic transfer to increment the correct allotment advice, a default mask must be created to truncate the 7 levels of the organization code to the level at which the existing allotments have been created.

The automatic transfer functionality in the BOP creates different effects on the organization when creating the allotment. If the mask is set at LO 99 00 0000 00 00 00 00, the Org 40 01 0002 00 00 00 00 is translated and an allotment is created for Org 40 00 0000 00 00 00 00. If the Mask is set at FMC 99 99 0000 00 00 00 00, the Org 40 01 0002 00 00 00 00 is translated and an allotment is created for Org 40 01 0000 00 00 00 00. The system will automatically increment the established allowance advice and reduce the allotment of the transferring organization and increase the allotment of the receiving organization for the same amount..